



MARYLAND DEPARTMENT OF JUVENILE SERVICES

POLICY & PROCEDURE

SUBJECT: Grants and Resource Development Policy
NUMBER: MGMT-01-08
APPLICABLE TO: All DJS Employees
EFFECTIVE DATE: March 3, 2008

Approved: "/s/signature on original copy"
Donald W. DeVore, Secretary

1. **POLICY.** The Department of Juvenile Services (DJS) employees shall act in accordance with State law and this Policy and Procedure when seeking external funding sources to enhance programs and services delivered to the youth in DJS care. The Grants and Resource Development Unit (GRD) is established to assist DJS staff in identifying, pursuing and applying for outside funding sources to support the agency's programming that is consistent with the mission of the Department. The expected results of this policy are that DJS will:
 - a. Identify, secure and monitor each grant award made to the Department in order to implement programs that help to fulfill its mission;
 - b. Require staff to adhere to each condition of an original grant award and to verify the related financial and accounting records; and
 - c. Require GRD to assume responsibility for monitoring the grant deliverables including but not limited to verifying related financial and accounting records.
2. **AUTHORITY.**
 - a. Annotated Code of Maryland, Human Services, § 9-203, 9-204, 9-218.
 - b. Annotated Code of Maryland, State Finance and Procurement, § 7-209.
3. **DEFINITIONS.**
 - a. *Awarding Agency/External Funding Sources* means a government, foundation or corporate entity that allocates grant program funding to the Department.
 - b. *Budget Amendment Approval* means the written request for spending authorization for all funding received by the Department in addition to the approved DJS annual budget. This written request is prepared by DJS Budget and Finance Unit, and submitted to the Department of Budget and Management as required by State law.
 - c. *Grant Application* means a request for financial support of a project/activity submitted in response to a request for proposals or notice of funding availability by a specified external funding source.
 - d. *Grant Award Packet* means the documentation that outlines the provision of funds

- by the awarding agency, based on an approved application and budget, to the Department to carry out an activity or project.
- e. *Grants and Resource Development (GRD)* means the unit of the Department responsible for management and administration of grants, including researching potential funding sources, applying for external funds, monitoring and implementation oversight, submitting required documentation to the awarding agency, ensuring that funds are obligated according to the award general and special conditions, maintaining and updating the Grants Management System (GMS), and the interpretation of grants administration policies and provisions.
 - f. *Grants Management System* means a database that tracks all grants awarded to the Department. This database is available to all Departmental staff with only designated staff permitted to make changes and modifications to the information.
 - g. *Project Director* means the individual assigned to the grant, responsible for the daily administration and supervision of the specific grant sponsored activities.
 - h. *Request for Proposals (RFP)* means a formal request by the awarding agency that outlines what the awards will be allocated for and provides specifications for the application including the funding amount and deadline for receipt of the proposal/application.

4. **PROCEDURES.**

a. **Applying for Funds:**

- (i) DJS staff shall forward a request to seek an External Funding Source to GRD;
- (ii) GRD shall review the request to determine if there is an applicable budget bill restriction;
- (iii) GRD shall work with requesting DJS staff to develop a grant application;
- (iv) GRD shall deliver a completed grant application to the Office of the Secretary for final review and signature;
- (v) GRD shall submit a signed application to the awarding agency within the specified time as noted in the RFP; and
- (vi) GRD shall enter and maintain information on a pending grant application in the GMS.

b. **Grant Award:**

- (i) GRD receives original grant award packet and shall present the packet to the Secretary for review and signature of acceptance;
- (ii) GRD shall forward an accepted grant award packet, after signature by the Secretary, to the Awarding Agency;
- (iii) GRD staff shall notify the DJS Budget and Finance Unit and assigned Project Director of an accepted grant award;

- (iv) DJS Budget and Finance Unit shall prepare and submit a request for budget amendment approval, as needed;
- (v) GRD shall enter and maintain grant award information in the GMS; and
- (vi) GRD shall conduct grant orientation and training with the Project Director and designated staff.

c. Grant Program Implementation:

- (i) GRD and/or Project Director may not implement a program until they have received a budget amendment approval notice from DJS Budget and Finance Unit;
- (ii) DJS Budget and Finance Unit shall notify the GRD within five (5) business days of receiving approval for a budget amendment request;
- (iii) GRD shall notify involved members of the Executive Staff, the assigned Project Director and each external collaborator of a budget amendment approval;
- (iv) A DJS staff assigned as Project Director shall promptly implement the approved program and initiate spending in accordance with procurement law and the grant requirements once a budget amendment approval notification is received from GRD;
- (v) GRD shall maintain oversight for monitoring the implementation and activities of a grant to ensure compliance with State, federal and grant requirements (e.g., accounting, audits) and consult with members of Executive Staff as appropriate;
- (vi) Project Director shall comply with all grant requirements; this includes the preparation and submission of all interim and final reports to GRD for official submission to the Awarding Agency; and
- (vii) GRD shall enter and maintain grant implementation information in the GMS system.

d. Grant Program Conclusion:

- (i) The DJS Office of Quality Assurance and Accountability shall assist with the program evaluation process to measure outcomes in order to determine the overall effectiveness of a grant program;
- (ii) GRD shall prepare and submit a final report to the Secretary, in concert with the evaluation findings of the Office of Quality Assurance and Accountability, on achievements and outcomes. This information shall be used to decide if DJS should continue the program within the Department's budget once the grant funding ends;
- (iii) GRD shall coordinate with the Project Director the preparation and submission of each final reporting requirement and other closing documents; and
- (iv) GRD shall enter and maintain the grant conclusion information in the GMS system.

e. Grant Monitoring:

The GRD shall monitor the implementation and activities of each grant awarded to DJS in accordance with fiscal and programmatic requirements and ***Grants and Resource Development - Standard Operating Procedures (Appendix I)*** consistent with this Policy.

5. DIRECTIVES/POLICIES AFFECTED.

- a.** Directives/Policies Rescinded – **MGMT-3-02 (Grants Management and Administration Policy).**
- b.** Directives Referenced- **None.**

6. LOCAL IMPLEMENTING PROCEDURES REQUIRED. **Yes**

7. FAILURE TO COMPLY.

Failure to comply with a Secretary's Policy and Procedure shall be grounds for disciplinary action up to and including termination of employment.

Appendix – 1

- 1. Grants and Resource Development - Standard Operating Procedures**



**Department of Juvenile Services
Grants and Resource Development
Standing Operating Procedures (SOP)**

A. APPLYING FOR FUNDS

MEMBERS OF THE DEPARTMENT:

1. Are encouraged to develop innovative program ideas in accordance with the vision, mission, key goals and policies of the Department.
2. Develop and submit the grant program concept paper for approval to Grants and Resource Development (GRD). All concept papers must have the Unit Director's approval.
3. When approval to proceed has been received, develop the concept paper into a proposal in accordance with the following categories:
 - a. Project Name
 - b. Project Summary
 - c. Project Budget (Personnel, Operating Expenses, Travel, Contractual Services, Equipment, Other)
 - d. Statement of the Problem (The problem that is being addressed to include the related statistics)
 - e. Description of Goals and Objectives
 - f. Methods of Reaching Objectives (What steps will be implemented)
 - g. Timeline (Time period and activities associated with program implementation)
 - h. Partnering/Cooperating Organizations (Who are the partners and supporters)
 - i. Performance measures (Qualitative and quantitative information that verifies if the program is meeting its goals and objectives)
 - j. Sustainability of the program (Identifying funding that will continue this program when grant funding ends)
 - k. Develop DRAFT Memorandum of Understanding (MOU), if necessary.
4. Submit proposal/application to GRD for review and submission to the funding source.

GRANTS AND RESOURCE DEVELOPMENT:

1. Attend training/conferences on various grant topics to enhance their ability to manage grants efficiently and effectively.
2. Work closely with Departmental personnel to understand the programmatic and equipment needs of DJS Operations, in order to research and identify grant funding opportunities that would fulfill these needs.
3. Provide the following services:
 - a. Guidance on proposal development (i.e. recommending a proposal outline, providing sample proposal, explanation of narrative description, goal, objectives, performance measures and budget);
 - b. Identify and research potential funding sources, funding patterns and interpretation of funding source requirements;

- c. Contact with DJS Budget Unit to determine the availability of matching funds for the grant, if required; and
 - d. Technical review of DRAFT and FINAL grant proposal.
4. Review and make any recommendations for any modifications to the concept paper.
5. Review and make recommendations for any modifications to the proposal.
6. Present the full grant proposal to the Secretary for approval in accordance with the deadline outline by the awarding agency.
7. Upon receipt of the Secretary's signature on the grant proposal, prepare the grant proposal package to include all of the required copies and forward to the funding source. This may include forwarding an electronic copy of the proposal.
8. File a copy of the grant proposal in the "Pending Grants" file and enter information in the Grants Management System (GMS).

B. GRANT AWARD NOTIFICATION

GRANTS AND RESOURCE DEVELOPMENT:

1. Upon receipt of the grant award from the Awarding Agency:
 - a. Review the grant award to verify the award is accurate for the Secretary's acceptance.
 - b. Create a cover letter and prepare the grant acceptance package for the Secretary's signature.
 - c. Forward the signed acceptance package to the Awarding Agency in accordance with the award conditions. (The Awarding Agency in some cases will send back a "Commencement Package." this package may include the progress report form, the inventory form, the budget form, evaluation criteria and general and special conditions.)

Prepare and forward copies relevant to:

 - Project Director
 - Deputy Secretaries
 - Office of Budget and Finance
 - Office of Procurement
 - Office of Information Technology
 - Office of Personnel Management
 - Office of Quality Assurance and Accountability
 - GRD File
2. Establish a program file folder, in the "Active Grants" file drawer for each grant award, with the Award package and the grant's contents from the "Pending Grants" file. This file should contain all application information, award information, budget adjustments and modifications, financial reports, correspondence (internal and external), quarterly reports, property inventory, performance measures and evaluation outcomes.
3. Create a data file for the grant award in the GMS and enter all appropriate information.
4. Conduct a grant program orientation/training meeting with the Project Director, staff and related partners to:
 - a. Review the grant award, budget, terms, conditions, Project Commencement form, policies and regulations.

- b. Discuss project expenditures and related reporting for the award period.
- c. Discuss the identification and preparation of program/budget modifications and extensions.
- d. Review and submit position descriptions and transmittals, required by the Office of Personnel Management, for the hiring of personnel under this grant.
- e. Identify grant-related purchases and the required DJS purchasing process.
- f. Discuss all training requirements.
- g. Review the required reports and their due dates to GRD and the Awarding Agency.
- h. Discuss the development of Intergovernmental Agreements and/or Memorandums of Understanding, when appropriate.
- i. Review site visit requirements for both the Awarding Agency and GRD and related timeline.
- j. Discuss the role of the Office of Quality Assurance and Accountability (QAA) and the evaluation process for grants.

DJS BUDGET:

- 1. Upon receipt of a copy of the signed grant award acceptance, prepare and forward the necessary budget amendment or reimbursable agreement to DBM to obtain the required (by law) spending approval.
- 2. Upon receipt of the budget amendment/reimbursable agreement approval from DBM, promptly forward written notification of this approval to GRD. The Program Cost Account (PCA) number and position number will be included when appropriate.

DJS PROJECT DIRECTOR:

Complete and sign the Project Commencement Form, designating the starting date and forward to GRD, within five working days from the date of commencement, for review and submission to the awarding agency.

C. GRANTS IMPLEMENTATION

GRANTS AND RESOURCE DEVELOPMENT:

- 1. Upon receipt of written approval from DJS Budget, to begin grant spending, notify the Project Director to begin grant program implementation. GRD will provide the Project Director with a copy of the APPROVED Budget Amendment/Reimbursable Agreement, PCA# (budget number) and position numbers (when appropriate), for his/her file.
- 2. Upon receiving spending approval, promptly submit the necessary equipment orders to the Office of Procurement, Information Technology, and other DJS office, as appropriate and provide copies to Project Director.
- 3. Provide technical assistance to the Project Director to support proper grant implementation, as necessary.
- 4. Meet with the Project Director on a quarterly basis to reconcile grant program expenditures and to make any necessary program/budget modifications.

5. Assist Project Directors with the preparation of budget and program modifications to distribute these funds.
6. Enter all updated personnel transmittal transactions into the GMS. (GRD will work with the Office of Personnel Management and DJS Budget Unit to track and confirm dates of employment for staff being paid by grant funds.)
7. Provide to DJS Accounting Unit invoice(s) for payment related to a grant program.
8. Record the progress report information in the GMS, make a copy for the grant master file and forward the original report to the awarding agency by the imposed due date.
9. Monitor the grant activity to ensure timely and accurate expenditures and effective implementation.
10. When called upon, provide on-site grant technical assistance to the Project Director/staff.
11. Work closely with the awarding/funding agency on the implementation of the grant to resolve any compliance issues and report achievements.
12. Prepare a grant status report to update the Secretary, Deputy Secretaries, and CFO as directed.
13. Serve as departmental liaison with grant funding agencies, state agencies, federal agencies, private and corporate organizations as it relates to grant programming.
14. Upon receipt, maintain a copy of Grants awarded to other organizations where DJS is a partner or that serve primarily DJS youth.
15. Record receipt of inventory form in the GMS, file copy in the Grants Master File and forward a copy to the awarding agency.

DJS OFFICE OF QUALITY ASSURANCE AND ACCOUNTABILITY:

A Quality Assurance and Accountability representative shall work with the proposal team to identify outcome measures to be used for grant program evaluation and to also identify best practices. The QAA representative shall coordinate the implementation of the grant program evaluation. A copy of the evaluation report will be submitted to the Project Director, Deputy Secretary, GRD, and Master File, as appropriate.

DJS PROJECT DIRECTOR:

1. Notify all involved parties to the grant program that grant implementation spending approval has been received and to proceed with implementation in accordance with the grant program implementation time-line.
2. When an Intergovernmental Agreement is necessary to implement the grant program, request GRD (in writing) to prepare the appropriate Intergovernmental Agreement (Subcontractor, no subcontractor, etc.). Provide a copy of the proposal, award, notification, name and required identification information to GRD and any other information necessary for the preparation of the Intergovernmental Agreement.
3. The Project Director will submit to GRD all equipment orders to ensure the prompt and accurate ordering of these purchases.
4. Ensure that all grant related expenditures are charged to the assigned grant PCA#, and submit to GRD for payment approval.
5. When hiring personnel under the grant program, to submit a Transmittal (vacancy notification/request to fill) with a position description (MS 22) to GRD for review and

- submission to the Office of Personnel Management for their processing.
6. Submit a monthly DJS grant financial expenditure report and related communication to GRD for grant program expenditure tracking and reconciliation.
 7. Submit spending plan to the GRD to seek approval from the awarding agency to change programmatic and/or financial expenditure direction.
 8. Obligate all grant funds prior to the end of the award period and liquidate them within 90 days thereafter or as otherwise indicated in the grant award conditions.
 9. Provide proper grant program management and supervision to ensure effective and efficient program implementation.
 10. Monitor the assignment of all personnel assigned to the grant. When a position vacancy occurs in the grant program, promptly submit a Transmittal to GRD for review and submission to the Office of Personnel Management to ensure the efficient processing of your personnel request.
 11. Submit the following to GRD with original signature:
 - a. Quarterly Reports - due five working days from the end of each quarter.
 - b. Semi-Annual Reports - due five working days from the end of each semi-annual period.
 12. Prepare and update an inventory of all grant funded property/equipment in the grant program. Forward the original signed copy of this inventory form to GRD.

OFFICE OF PERSONNEL MANAGEMENT:

Upon receipt of the required paper work/forms for the hiring/transfer of personnel under the grant, promptly process the forms and provide technical assistance to the Project Director in order to ensure prompt hiring/assignment of these personnel. A copy of the approved transmittal form will be forwarded to the Project Director and GRD.

OFFICE OF PROFESSIONAL DEVELOPMENT AND TRAINING:

Provide/coordinate the professional training and certification of all grant funded persons in accordance with Departmental policy and requirements set forth under the grant award.

OFFICE OF PROCUREMENT:

Upon placing orders for the grant equipment, furniture and supplies, provide a copy of all purchase orders and invoices to the Project Director and to GRD.

DJS BUDGET UNIT:

1. Assign the proper PIN number and subsequently track grant funded personnel in conjunction with the Project Director and GRD.
2. Communicate with GRD, on an as needed basis, to reconcile the current status of grant program expenditures.
3. Prepare and submit required timely financial and funding draw-down reports to the Awarding Agency, in accordance with the requirements of the grant award.
4. Conduct and provide a copy of grant budget expenditure projections for grant programs,

- on a quarterly basis, to GRD in order to communicate patterns of over or under spending.
5. Enter all grant program expenditure information into the GMS.

DJS ACCOUNTING UNIT:

When provided with an invoice from GRD for payment related to a grant program, process the invoice for payment, and provide the Budget Unit and GRD with written confirmation of that payment and a copy of the paid invoice.

MEMBERS OF THE DEPARTMENT:

1. Report performance exceptions and/or serious deficiencies in the grant program to GRD and Quality Assurance and Accountability (QAA).
2. When you have knowledge of Grants awarded to other organizations where DJS is a partner or that serve primarily DJS youth, obtain and provide a copy of the grant proposal and award to GRD. Periodically update GRD as to the status and success of this program.

DJS OFFICE OF CAPITAL PLANNING:

1. Coordinate with the Grant Project Director, GRD, Budget and appropriate agency(s) regarding grant program building construction or rental/lease of office space, etc.
2. Coordinate with GRD to ensure the agency's Facilities Master Plan includes information from grant programs, as appropriate.

DJS OFFICE OF INFORMATION TECHNOLOGY AND TELECOMMUNICATION:

1. After funding confirmation from the DJS Budget Unit and GRD, promptly purchase information technology equipment, in accordance with state policy, as indicated in the grant program proposal.
2. Upon ordering IT equipment, provide a copy of the purchase order and invoice to the Project Director and to GRD.
3. Provide on-going information technology technical support to the grant program, as needed.

DJS EQUAL EMPLOYMENT OPPORTUNITY/FAIR PRACTICES:

1. Prepare and submit the appropriate EEO plan to the requesting federal or state agency, as required under law, and maintain a copy on file in accordance with federal requirements.
2. Provide a copy of the EEO plan to GRD for the grants master file.
3. Provide equal employment opportunity direction to DJS Managers, Supervisors and Project Directors, in order to ensure all applicants applying for grant funded positions are provided with equal employment opportunity in accordance with the law.
4. Provide Minority Business Enterprise (MBE) direction/technical assistance during the hiring of contractual businesses in accordance with the requirements of the grant proposal.

D. GRANT PROGRAM CONCLUSION

DJS PROJECT DIRECTOR:

1. Prior to the anticipated end date of final year of grant funding, prepare and forward a written recommendation to GRD and QAA to determine the appropriateness of program continuation and transition of program funding to DJS general funds or other specified funding source.
2. Prepare and submit the final progress report to GRD, which encompasses the total grant award period.
3. Enter the Final Progress Report and Final Grant Closing information into the GMS.

GRANTS AND RESOURCE DEVELOPMENT:

1. If the grant is due to terminate, with no additional grant funding forthcoming, conduct a sunset meeting with the Project Director, DJS Budget and QAA. The purpose of this meeting is to evaluate and assess the viability of continuing the program and to determine if additional funding should be included in the Department's general funds budget, or other specified funding source.
2. Prepare and forward a written recommendation to the Secretary concerning the continuance or non-continuance of the grant program. This report shall include evaluation outcomes and related evaluation reports.
3. Conduct the final grant expenditure reconciliation for the grant program, with DJS Budget, prior to final financial reporting and draw downs.

DJS BUDGET:

1. Enter the final grant financial expenditure information into the GMS.
2. Prepare and submit final financial report(s) and conduct required draw-downs from the awarding agency and close out the financial record for the grant.
3. Provide GRD with copies of all final financial reports for the grants Master File indicating financial close out of the grant program.



MARYLAND DEPARTMENT OF JUVENILE SERVICES EMPLOYEE STATEMENT OF RECEIPT POLICY AND PROCEDURE

SUBJECT: Grants and Resource Development Policy
POLICY NUMBER: MGMT-01-08 (Management)
EFFECTIVE DATE: March 03, 2008

I have received one copy (electronic or paper) of the Policy and/or Procedure as titled above. I acknowledge that I have read and understand the document, and agree to comply with it.

SIGNATURE

PRINTED NAME

DATE

(THE ORIGINAL COPY MUST BE RETURNED TO YOUR IMMEDIATE SUPERVISOR FOR FILING WITH PERSONNEL, AS APPROPRIATE.)